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## PRE-APPEAL BRIEF REQUEST FOR REVIEW

Docket Number (Optional)

915-008.012

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on

4/27/09

Signature

Typed or printed name Cathy Sturmer

Application Number

10/634,734

Filed

August 4, 2003

First Named Inventor

Antti KIIVERI

Art Unit

2132

Examiner

V. Perungavoor

Applicant requests review of the final rejection in the above-identified application. No amendments are being filed with this request.

This request is being filed with a notice of appeal.

The review is requested for the reason(s) stated on the attached sheet(s).

Note: No more than five (5) pages may be provided.

I am the

☐

applicant/inventor.

☐

assignee of record of the entire interest.  
See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed.  
(Form PTO/SB/96)

☒

attorney or agent of record.  
Registration number 58,051

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attorney or agent acting under 37 CFR 1.34.

Registration number if acting under 37 CFR 1.34

Signature

Keith R. Obert

Typed or printed name

203-261-1234

Telephone number

27 April 2009

Date

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required.  
Submit multiple forms if more than one signature is required, see below\*.

☐

\*Total of \_\_\_\_\_ forms are submitted.

This collection of information is required by 35 U.S.C. 132. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11, 1.14 and 41.6. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop AF, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Attorney Docket No. 915-008.012  
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re Application of

**Antti KIIVERI et al** : Confirmation No. **6648**  
Serial No. **10/634,734** : Examiner: **V. Perungavoor**  
Filed: **August 4, 2003** : Group Art Unit: **2132**  
For: **SECURE EXECUTION ARCHITECTURE**

Mail Stop AF  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**PRE-APPEAL BRIEF REQUEST FOR REVIEW**

Sir:

In response to the final Office Action of January 27, 2009, please reconsider the rejections in view of the following remarks:

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CERTIFICATE OF MAILING

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Cathy Sturmer

Dated: 4/27/09

REMARKS

Claim 1-2, 4-8, 10-14 and 16-18 were examined by the Office, and in the final Office Action of January 27, 2009 all claims are rejected. With this response no claims are amended, added or cancelled. Applicant respectfully submits that the Office has committed clear error in rejecting the claims, because the cited references fail to disclose or suggest all of the limitations recited in the claims. Accordingly, since the Office has failed to show that the cited references disclose or suggest all of the limitations of the claims, the Office has failed to establish a *prima facie* case of obviousness. Applicant respectfully requests reconsideration and withdrawal of the rejections in view of the following discussion.

This response is submitted along with a Notice of Appeal.

**Claim Rejections Under § 103**

On page 3 of the Office Action, claims 1-2, 4-8, 10-14 and 16-18 are rejected under 35 U.S.C. § 103(a) as unpatentable over Morgan (U.S Patent No. 6,968,459) in view of Grawrock (U.S. Appl. Publ. No. 2003/0196100). Applicant respectfully submits that claim 1 is not disclosed or suggested by the cited references, alone or in combination, because the cited references fail to disclose or suggest all of the limitations recited in claim 1. The cited references at least fail to disclose or suggest storage circuit access control means arranged to enable the processor to access the storage area in which the protected data are located when a first processor operating mode is set, and storage circuit access control means arranged to prevent the processor from accessing the storage area in which protected data are located when a second processor operating mode is set, as recited in claim 1.

In the present invention, as defined by independent claim 1, the circuitry includes authentication means arranged to authenticate software provided to the circuitry. Protected data and protected applications are located in a storage area. Storage circuit access control means are arranged to enable the processor to access the storage area in which the protected data and protected applications are located when a first processor mode is set (the unsecure mode). When the first processor mode is set only protected applications and authenticated data may access the protected data. The storage circuit access control means are arranged to prevent the processor from accessing the storage area in which protected data are located when a second processor operating mode is set (secure mode), thereby enabling the processor to execute non-verified

software downloaded into the circuitry. Thus, the circuit security data that is stored in the storage area of the storage circuit are not accessible.

In contrast to claim 1, applicant respectfully submits that Morgan does not disclose or suggest storage circuit access control means arranged to enable the processor to access the storage area in which protected data is located when a first processor operating mode is set. As recited in claim 1, the protected data relates to circuitry security, and when the first processor operating mode is set only authenticated software and protected applications have access to the protected data. However, in Morgan in step 204 the storage manager detects whether the storage device (151) is secure by attempting to read any device-specific security information from the storage device (151). See Morgan column 5, lines 7-10. In step 210 the storage manager retrieves manufacturing-specific security information, this security information may then be used in step 212 to generate a unique encryption key, but if it was not possible to retrieve the security information step 216 is performed in which the computer (100) is operated in a restricted-access data storage mode. See Morgan column 5, lines 47-63. In contrast to claim 1, the full-access mode or restricted-access mode is set based on the security information, i.e. protected data related to circuitry security. Access to the protected data is available before the full-access or restricted-access mode is set, and not after a first processor operating mode, i.e. secure mode, is set, as recited in claim 1. Therefore, for at least this reason claim 1 is not disclosed or suggested by the cited references.

Furthermore, Morgan also fails to disclose or suggest storage circuit access control means arranged to prevent the processor from accessing the storage area in which protected data is located when a second processor operating mode is set, thereby enabling the processor to execute non-verified software downloaded into the circuitry, as recited in claim 1. In contrast to claim 1, in Morgan the restricted-access mode is set when the security information is not retrievable from the storage circuitry. Therefore, in Morgan the second operating mode, i.e. restricted-access mode, is not set to prevent the processor from accessing the protected data. Instead, the second operating mode for the processor is set because the protected data is not retrievable from the storage circuitry. Therefore, Morgan also fails to disclose or suggest this limitation recited in claim 1.

Grawrock is directed to a method and device for protecting system secrets from system reset attacks. This is performed by locking the memory which contains the system secrets after a

system reset, and by removing the secrets from the memory before the memory is unlocked. Grawrock fails to make up for the deficiencies in the teachings of Morgan identified above, and therefore the cited references, alone or in combination, fail to disclose or suggest all of the limitations recited in claim 1.

Therefore, for at least the reasons discussed above, claim 1 is not disclosed or suggested by the cited references. Independent claims 7 and 13 include limitations similar to those recited in claim 1. Therefore, independent claims 7 and 13 are not disclosed or suggested by the cited references for at least the reasons discussed above with respect to claim 1.

The claims rejected above, and depending from the above mentioned independent claims are not disclosed or suggested by the cited references at least in view of their dependencies. Furthermore, with respect to claims 4, 10 and 16, Morgan does not disclose or suggest means to indicate which mode the processor is operating. Instead, Morgan only states that the status manager repeats blocks 204 through 216 when a status change is detected for storage device (151), for example when the storage device (151) is removed from the removable media drive (121), and a new storage device is inserted. See Morgan column 6, lines 23-28. However, this does not indicate which mode the processor is operating, as recited in claims 4, 10 and 16. Therefore, for at least this additional reason, claims 4, 10 and 16 are not disclosed or suggested by the cited references.

On page 4 of the Office Action, claims 2, 6, 8, 12, 14 and 18 are rejected under 35 U.S.C. § 103(a) as unpatentable over Morgan in view of Grawrock, and further in view of Sato (U.S. Appl. Publ. No. 2001/0055980), and on page 5 of the Office Action, claims 5, 11, and 17 are rejected under 35 U.S.C. § 103(a) as unpatentable over Morgan in view of Grawrock, and further in view of Ishidera (US Patent 2002/0040442 A1).

Sato is directed to a multi-mode cellular phone terminal supporting a plurality of communication systems, which multi-mode cellular phone terminal comprises a system timer for switching over a plurality of clocks and counting different timings to support a plurality of communications system. Ishidera is directed to a software apparatus which executes processes of software with reduced power consumption at the time of operation on a battery and a recording medium. The apparatus determines whether power saving is needed or not.

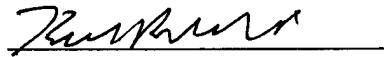
The cited references fail to make up for the deficiencies in the teachings of Morgan identified above, and because all of the rejected claims ultimately depend from an independent claim, the claims are not disclosed or suggested by the cited references.

#### Conclusion

It is respectfully submitted that the present application is in condition for allowance, and such action is earnestly solicited. The undersigned hereby authorizes the Commissioner to charge Deposit Account No. 23-0442 for any fee deficiency required to submit this response.

Respectfully submitted,

Date: 27 April 2009



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